

09-27-01

**NON-PROVISIONAL  
UTILITY PATENT APPLICATION  
TRANSMITTAL - 37 CFR 1.53(b)**

**[ ] Duplicate**  
(check, if applicable)

Assistant Commissioner for Patents  
**BOX PATENT APPLICATION**  
Washington, DC 20231

**Attorney Docket No. 10407-009US (A1028MT-US1)**  
**First Named Inventor: Shinya ABE et al.**  
**Express Mail Label No. EL916935354US**  
**Total Pages of Transmittal Form: 2**

Transmitted herewith for filing is the non-provisional utility patent application entitled:

**OPTICAL DISC AND METHOD FOR MANUFACTURING THE OPTICAL DISC**

which is:

an ☒ Original; or

a ☐ Continuation, ☐ Divisional, or ☐ Continuation-in-part (CIP)  
of prior Application No. filed.

Anticipated Group/Art Unit: or Class, Subclass.

☐ This non-provisional patent application is based on Provisional Patent Application No.,  
filed.

Enclosed are:

- ☒ Specification (including Abstract) and claims: 37 pages.
- ☐ Application Data Sheet.
- ☒ Newly executed/unexecuted Declaration (original/copy).
- ☐ Copy of Declaration from prior application.
- ☐ Separate Power of Attorney (including 37 CFR 3.73(b) statement, if applicable).
- ☒ 6 sheets of drawings (formal).
- ☐ Transmittal Letter Accompanying Submission of Compact Disc in Accordance  
with 37 C.F.R. §1.52(e), plus two identical compact discs (for computer program  
Appendix)
- ☐ Nucleotide and/or Amino Acid Sequence Submission, including:
  - ☐ Computer readable copy ☐ Paper Copy ☐ Verified Statement.
- ☒ Under PTO-1595 Cover Sheet, an assignment of the invention
- ☒ Name of Assignee: **Matsushita Electric Industrial Co., Ltd.**
- ☒ Certified copies of Japanese Application Nos. 2000-300053 filed September 29,  
2000 and 2001-225009 filed July 25, 2001 are filed:
  - ☒ herewith or ☐ in prior application.
- ☐ Applicant(s), by its/their undersigned attorney, claim(s) Small Entity Status under  
37 C.F.R. §1.27 as ☐ an Independent Inventor, or ☐ a Small Business Concern,  
or ☐ a Non-Profit Organization.
- ☒ Preliminary Amendment.
- ☐ Information Disclosure Statement, PTO-1449, and cited references.
- ☐ Request for Nonpublication of Application Under 35 U.S.C. §122(b)
- ☐ Other:

The filing fee is calculated as follows:

			SMALL ENTITY			LARGE ENTITY	
CLAIMS	NO. FILED	NO. EXTRA	BASIC FEE:			BASIC FEE:	
			\$355			\$710	
Total	30-20 =	10	X9	\$	OR	X18	\$180.00
Independent	3- 3 =	0	X40	\$	OR	X80	\$
[ ] Multiple Dependent Claims Present			\$135	\$	OR	\$270	\$
			TOTAL	\$	OR	TOTAL	\$890.00

- [ ] The Commissioner is not authorized to charge the filing fee at this time as we elect to defer payment of the entire filing fee until receipt of a Notice to File Missing Parts.
- [X] A check in the amount of \$890.00 to cover the filing fee is enclosed.
- [X] The Commissioner is hereby authorized to charge and/or credit **Deposit Account No. 50-1017 (Billing No. 210407.0009)** as noted below. A duplicate copy of this sheet is enclosed.
- [X] Any overpayments or deficiencies in the above-calculated fee.
- [ ] Filing fee in the amount of \$\_\_\_\_\_ as calculated above.
- [X] Any additional fees required under 37 C.F.R. § 1.16 and § 1.17.
- [X] In the event that a Petition for Extension of Time is required during the prosecution of this application, but not submitted, please charge any extension fee under 37 C.F.R. § 1.136(a) to our Deposit Account noted above.

**CORRESPONDENCE ADDRESS:**

September 25, 2001

(Date)

By: William W. Schwarze

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WWS:srn  
Enclosures